

# GUIDANCE FOR PRE-QUALIFICATION OF CONSULTANTS

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- For Testing and Certification of Lifting Equipment, Pressure Vessel and Scaffolding
- For Training & Certification
- HSE Related Auditing
- Risk Assessment Study – HAZOP, Chemical &

Occupational Health & Safety

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## 1. Purpose

This procedure specifies the process of new and renewal pre-qualification applications of third-party consultants, service providers, and inspection, testing, and training certification agencies.

The safety and integrity of all equipment are essential to enable safe operations in RAKEZ jurisdictional areas; therefore, all Inspection, Training, and Testing agencies/consultants shall register with RAKEZ (even if certified on Federal/State levels).

## 2. Scope

This scope is applied for the below third-party services to operate within the RAKEZ jurisdiction:

- a. Inspection, Testing, and Certification of third-party Consultants/Service providers of:
  - Lifting Equipment & Accessories
  - Pressure Vessel
  - Scaffolding
- b. Training and Certification of third-party Consultant/Service providers (First Aid Training, Scaffolding, Training Related to Lifting Equipment Operation, and General Safety Awareness)
- c. HAZOP Risk Assessment Study
- d. Chemical Risk Assessment Study
- e. Occupational Health & Safety Risk Assessment Study
- f. Management System Auditing
- g. Process Auditing
- h. Operation Fitness Certificate Auditing

## 3. Definitions

- **HS&E Department** – Health, Safety & Environment Department
- **RAKEZ** – Ras Al Khaimah Economic Zone - Government of Ras Al Khaimah
- **ENAS** – Emirates National Accreditation Centre
- **COR** – Certificate of Registration (provided upon completion of Pre-qualification)

## 4. Procedure

### 4.1. Pre-qualification Procedure

*The application form: Pre-Qualification Registration Form for Third-Party Consultants (HSE-GU03.F01)*

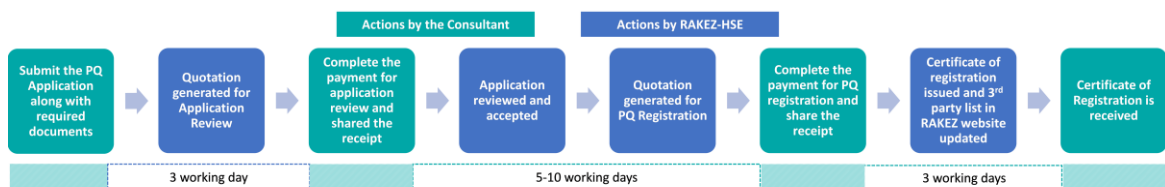
- The consultant should be registered with the RAKEZ procurement department and comply with RAKEZ policy and procedures.
- Third-party consultants/service providers applying for new/renewal/adding of activity/amendment pre-qualification shall submit the application form by clicking [here](#).

- For pre-qualification of third-party consultant/service providers, the following documents are mandatory to be submitted for completing the pre-qualification process;

Type of Third Party	Relevant Licence/Permit
Inspection, Testing, and Certification	<ul style="list-style-type: none"> <li>• Trade Licence</li> <li>• Accreditation Certificate issued by UAE Accreditation Body.</li> </ul>
Training and Certification of third-party Consultant/Service providers	<ul style="list-style-type: none"> <li>• Trade Licence</li> <li>• Certification from international bodies for the trainer shall be verified electronically.</li> </ul>
Management System Auditing	<ul style="list-style-type: none"> <li>• Trade Licence</li> <li>• Accreditation from International Accreditation Forum (IAF) members in UAE</li> </ul>
Risk Assessment Study	<ul style="list-style-type: none"> <li>• Trade Licence</li> <li>• CV of all engineers/ consultants along with previous experience letters.</li> <li>• Attested certifications of all academic and professional qualifications shall be submitted.</li> <li>• Proof of UAE residence. (Copy of the visa shall be submitted)</li> <li>• Approvals obtained from other UAE government authorities.</li> <li>• Proven track record of major relevant studies done. (Copy of recent two (2) reports).</li> <li>• Risk assessment study fees structure</li> </ul>
Process Auditing	<ul style="list-style-type: none"> <li>• Trade Licence</li> <li>• CV of all engineers/ consultants along with previous experience letters.</li> <li>• Attested certifications of all academic and professional qualifications shall be submitted.</li> <li>• Proof of UAE residence. (Copy of the visa shall be submitted)</li> <li>• Approvals obtained from other UAE government authorities.</li> <li>• Proven track record of major relevant auditing done. (Copy of recent two (2) reports).</li> <li>• Fees structure based on process risk</li> </ul>
Operation Fitness Certificate Auditing	<ul style="list-style-type: none"> <li>• Trade Licence</li> <li>• CV of all engineers/ consultants along with previous experience letters.</li> </ul>

	<ul style="list-style-type: none"> <li>• Attested certifications of all academic and professional qualifications shall be submitted.</li> <li>• Proof of UAE residence. (Copy of the visa shall be submitted)</li> <li>• Approvals obtained from other UAE government authorities.</li> <li>• Proven track record of major relevant auditing done. (Copy of recent two (2) reports).</li> <li>• Fees structure based on activity risk and area covered</li> </ul>
<p>Note: The consultant company name in the trade license and accreditation certificate shall be the same.</p>	

- Upon completion of the application, a sales order with non-refundable service fees will be issued for review of documents as per the HS&E Service fees – (HSE-SF01) within three (3) working days.
- Upon confirming the payment, the application shall be reviewed accordingly within 5-10 working days. Consultant shall be notified of any deficiencies /clarifications and/or requirements to be submitted for further review. If the consultant failed to provide the clarification within 30 calendar days from the email notification for clarification, the application will be dropped. A maximum of two reviews (for the main application and one revision) will be conducted during the review stage. Additional revisions shall be considered as a new submission.
- Approval/rejection of the application shall be based on the competence of the applicant and shall be notified of the same.
- Upon verification, if all requirements are satisfactory, a sales order with service fees will be issued for acceptance of registration as per the HS&E Service fees – (HSE-SF01).



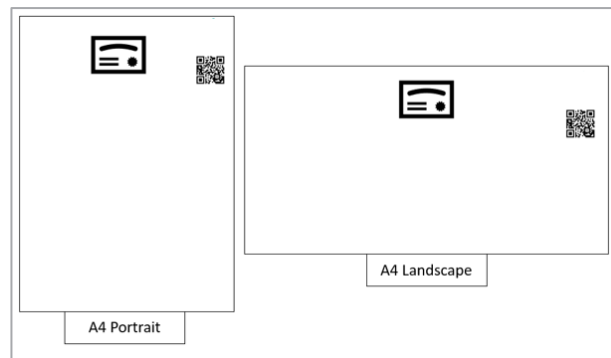
- Upon confirming the payment, the Certificate of Registration (COR) shall be issued within three (3) working days.
- If the consultant failed to complete the registration payment within 30 calendar days from the issuance of the sales order, the application will be dropped.
- RAKEZ HS&E has the right to request additional documents other than those mentioned above for verification.
- RAKEZ reserves the right to revise, change, amend, remove, or cancel any or all of the provisions contained in these guidances at any time with or without prior notice.

#### 4.2. Performance Monitoring

Upon obtaining registration, the performance of the third-party consultant will be monitored to ensure that they perform as per the expectations of Federal/Local or RAKEZ requirements. Failure to do so shall result in exclusion from the List of RAKEZ's Pre-qualified Agencies.

All certificates issued to customers in RAKEZ jurisdiction shall have the option for electronic verification in the form of a QR code. The QR code shall be in the below format according to the below specification.

- Certificate Format: A4 (Portrait/Landscape)
- File Type: PDF



As part of performance monitoring, the registered third-party consultants shall submit the list of issued certificates on a monthly basis to the customers in RAKEZ jurisdiction by clicking [here](#) between the 1<sup>st</sup> – 5<sup>th</sup> of every month for the previous month. All certificates shall be issued to the customers within 72 hours of completing the services. Failure to do so or based on RAKEZ customer complaint, may result in exclusion from the List of RAKEZ's Pre-qualified Agencies.

RAKEZ HS&E has the right to add further measures for performance monitoring if required.

#### 4.3. Outline for Risk Assessment Study Report:

The following details should be included at a minimum in the Risk Assessment study report. The level of detail that must be provided for each topic listed in the guidelines below will, in practice, vary from facility to facility. Personnel who worked on the RA study should be credited in the final report.

- History and purpose.
- Data on potentially dangerous substances (e.g. substance name monitoring method, hazards, the composition of process, etc.).
- The project's design documentation and summary of all applicable codes, standards, severity of risks, and best practices.
- Details about the setup (where it is, how it works, who works there, how the land around it is used, who lives there, etc.).
- Sketches (sectional view) of machinery and a schematic of the process are included in the information provided about the plant and machinery.
- Management system information that must be gathered (e.g. responsible person and Quality Control for safety training etc.).
- Risk reduction analysis (if the risk is not acceptable) systems & methods and recommendations to prevent and/or reduce them to the acceptable level(s).
- Details of major mishaps (identification of potential major hazard events, process flow diagram, prevention and control systems, emergency procedure meteorological conditions, numbers at risk, etc, equipment requiring periodic inspection & testing.).
- Injuries, property loss, and burned area classification scales must be detailed.

- Included in the calculations must be a description of the severity scale employed in the research.
- Emergency Plans

#### 4.4. Validity and Renewal of Pre-qualification

Pre-qualification is valid only for a period of 1 year. The pre-qualification renewal application should be made 30 calendar days prior to the expiry date mentioned in the Certificate of Registration. The company name will be automatically removed from the website list if the renewal process has not been completed by the third-party Consultant after the expiry date. A renewal application submitted beyond 30 calendar days of the expiry date will be considered a new application.

#### 4.5. Adding of Activity

RAKEZ should be notified if there will be any changes in the scope specified in the COR. The notification shall include all relevant details and/or documents for evaluation and the way forward. Accordingly, once accepted, the third-party consultant shall be required to pay the relevant fee mentioned in HS&E Service fees – (HSE-SF01) to get the amended COR within two (2) working days.

#### 4.6. Amendment

RAKEZ should be notified if there will be any changes such as name change, trainer change, address, activity cancellation, or any changes other than adding activities. The notification shall include all relevant details and/or documents for evaluation and the way forward. Accordingly, once accepted, the third-party consultant shall be required to pay the relevant fee mentioned in HS&E Service fees – (HSE-SF01) to get the amended COR within two (2) working days.

#### 4.7. Disclaimer

All consultants shall be solely subject to the laws of the UAE for losses or damages in terms of life and property stemming from design/reporting errors, supervision and/or implementation errors, deficiencies of inspections, failure to construct in compliance with the required standards, failure to comply with rules of professional ethics, failure to use knowledge and experience, and similar reasons; and successively (severally) liable where the consultants have undertaken control and any consultation services on works. The consultants shall be liable to complete and compensate for any such losses or damages according to the laws of the UAE. RAKEZ and its employees are not responsible or liable for any such losses or damages, errors, deficiencies, and failures on the part of the consultants.

### 5. Related Forms

- PRE-QUALIFICATION REGISTRATION FORM FOR THIRD-PARTY CONSULTANTS – (HSE-GU03.F01). Click [here](#).
- PRE-QUALIFICATION SUBMISSION CHECKLIST - (HSE-GU03.F02)
- MONTHLY UPDATE FOR ISSUED CERTIFICATES – (HSE-GU03.F03). Click [here](#).

## 6. Applicable Regulations / References

- RAKEZ Rules & Regulations
- ENAS & EIAC Standards

